

FORM PTO-1390
(REV. 11-2000)

DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

3286-0171P

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/936047

INTERNATIONAL APPLICATION NO.

PCT/DE00/00737

INTERNATIONAL FILING DATE

March 9, 2000

PRIORITY DATE CLAIMED

March 9, 1999

TITLE OF INVENTION

AUTOMATION SYSTEM WITH AUTOMATION OBJECTS WITH A DIRECTORY STRUCTURE AND METHOD FOR THE
MANAGEMENT OF AUTOMATIONS OBJECTS IN A DIRECTORY STRUCTURE

APPLICANT(S) FOR DO/EO/US

BECKER, Norbert; DIEZEL, Matthias; ECKARDT, Dieter; KRAEMER, Manfred; LEINS, Ralf;
MOELLER-NEHRING, Walter; SCHNEIDER, Karsten; WINDL, Helmut, *

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39 (1).
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau). WO 00/54147
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is transmitted herewith.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4)
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☒ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 20. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98-1449 and International Search Report (PCT/ISA/210) w/ 3 documents
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☒ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
 - 1.) PCT Substitute Claims Letter w/ amendments
 - 2.) Two (2) sheets of Formal Drawings

*BIEHLER, Georg; DONNER, Albrecht; HERBERTH, Harald; LANGKAFEL, Dirk; LANGE, Ronald; SCHMOLL, Juergen; WELZ, Ulrich

JC12 Rec'd PCT/PTO 07 SEP 2001

U.S. APPLICATION NO (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO		ATTORNEY'S DOCKET NUMBER	
099/936047		PCT/DE00/00737		3286-0171P	

21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. \$1,000.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO. \$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width: 10%; text-align: right;">\$</td> <td style="width: 60%; text-align: right;">860.00</td> <td style="width: 30%;"></td> </tr> <tr> <td style="text-align: right;">\$</td> <td style="text-align: right;">130.00</td> <td></td> </tr> </table>		\$	860.00		\$	130.00	
\$	860.00										
\$	130.00										

Surcharge of \$130.00 for furnishing the oath or declaration later than	<input type="checkbox"/> 20	<input checked="" type="checkbox"/> 30			
months from the earliest claimed priority date (37 CFR 1.492(e)).					

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total Claims	8 - 20 =	0	X \$18.00	\$	0
Independent Claims	1 - 3 =	0	X \$80.00	\$	0
MULTIPLE DEPENDENT CLAIM(S) (if applicable) None			+ \$270.00	\$	0
TOTAL OF ABOVE CALCULATIONS =				\$	990.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	0
SUBTOTAL =				\$	990.00
Processing fee of \$130.00 for furnishing the English translation later than				<input type="checkbox"/> 20 <input type="checkbox"/> 30	
months from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$ 0
TOTAL NATIONAL FEE =				\$	990.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$ 0
TOTAL FEES ENCLOSED =				\$	990.00
				Amount to be:	\$
				refunded	
				charged	\$

a. ☒ A check in the amount of \$ **990.00** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account. No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 02-2448.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

Send all correspondence to:
Birch, Stewart, Kolasch & Birch, LLP or Customer No. 2292
 P.O. Box 747
 Falls Church, VA 22040-0747
 (703)205-8000

Date: September 7, 2001

By Donald J. Daley
 Donald J. Daley, #34,313

0936047
JC12 Rec'd PCT/PTO 07 SEP 2001
PATENT
3286-0171P

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: BECKER, Norbert et al.
Int'l. Appl. No.: PCT/DE00/00737 Appl. No.: New
Filed: September 7, 2001 Examiner:
For: AUTOMATION SYSTEM WITH AUTOMATION
OBJECTS WITH A DIRECTORY STRUCTURE AND
METHOD FOR THE MANAGEMENT OF AUTOMATION
OBJECTS IN A DIRECTORY STRUCTURE

LETTER

BOX PATENT APPLICATION

Assistant Commissioner for Patents
Washington, D.C. 20231

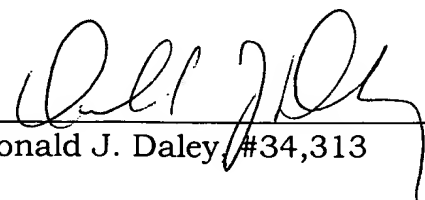
September 7, 2001

Sir:

The PTO is requested to use the amended sheets/claims attached hereto (which correspond to Article 34 amendments or to claims attached to the International Preliminary Examination Report) during prosecution of the above-identified national phase PCT application.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By 
Donald J. Daley #34,313

DJD/cqc
3286-0171P

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